



UCL Academic Manual 2016-17  
Chapter 8: Derogations and Variations  
UCL Institute of Education (IOE)

## UCL IOE MPhil/ PhD by Publication 2016-17

Contact: **Lizzie Vinton**, Assessment Regulations and Governance Manager, Academic Services, Student and Registry Services

---

**These regulations apply to IOE MPhil/ PhD students enrolling from September 2015.**

The PhD by Publication is only available to UCL Institute of Education staff on IOE contracts prior to 2014.

IOE PhD by Publication students are also subject to the *IOE Code of Practice for Research Degrees* and to the *UCL Research Governance and Ethics Policies and Procedures*.

---

### PhD by Publication

These regulations for the PhD by publication should be read together with the *IOE Regulations for the degrees of MPhil and PhD*, which are appended below.

#### **Admission and Registration**

A1. A candidate for the degree of PhD by submission of a thesis based on published work must be a member of staff at IOE.

A2. A candidate shall apply in writing to the Head of IOE Centre for Doctoral Education for admission to the degree of PhD by Publication under these regulations.

A3. The request for admission shall be considered by the Head of IOE Centre for Doctoral Education in consultation with the Head of Academic Department where the member of staff is employed.

A4. The Head of IOE Centre for Doctoral Education shall consider the application on the basis of:

A4.1 the ability of the candidate to satisfy the normal requirements of admission to the PhD programme (as indicated in regulation 3 above);

A4.2 the submission of satisfactory evidence of published work of a type and nature which is consistent with the award of a degree at this level;

A4.3 a nomination and statement of support for the candidate from a member of the IOE's academic staff confirming the existence of a common research interest with the nominee; and

A4.4 the availability of suitable expertise in IOE to advise the candidate.

A5. Where admission to the degree is approved, an academic supervisor shall be appointed to provide guidance to the candidate on the presentation of the thesis based on published work.

### **Registration and Course of Study**

A6. The minimum period of study shall normally be six months and the maximum period shall be

A10.2 where the thesis submitted includes work conducted in collaboration with others, to provide a written statement normally signed by at least one of the co-researchers on the extent of the candidate's individual contribution to the material and the conditions and circumstances under which the work was carried out – see A7.2 above.

### **Specific Requirements for PhD by Publication**

A11 The thesis submitted for the award of the degree of PhD by Publication shall be of sufficient scope to provide evidence of adequate industry and application of an extent characteristic of at least four years' active research effort in the candidate's field and:

A11.1 present a coherent programme of research undertaken by the candidate;

A11.2 form a distinct contribution to the knowledge of the field of study and afford evidence of originality and a capacity for autonomous research;

A11.3 through the publications and integrative summary provide evidence of a critical assessment of the relevant literature; where relevant, describe the method of research and its findings, include discussion on those findings and indicate in what respects they advance the study of the subject; and, in so doing, demonstrate a deep and synoptic understanding of the field of study;

A11.4 demonstrate relevant research skills;

A11.5 include a full bibliography and references;

A11.6 be written in English and of a satisfactory standard of literary presentation.

A12 Additionally, in the case of collaborative work, the examiners must satisfy themselves that the part of the submitted material attributed to the candidate constitutes a substantial original contribution to knowledge.

### **Entry to examination and submission of work**

A13 The candidate shall be subject to the regulations set out in Section 9 of the PhD regulations except that he or she shall be expected to submit two copies of the publications and the integrative summary bound in accordance with instructions obtainable from the Head of IOE Centre for Doctoral Education and in accordance with the *IOE Guidelines for the Conduct of Oral Examinations*.

### **Appointment of Examiners and Conduct of Examination**

A14 The examiners for the PhD by Publication shall be appointed in accordance with procedures set out in section 11 of the PhD regulations.

### **Outcome of examination of PhD by publication**

A15 Candidates for the PhD by Publication must submit the thesis comprising the publications and integrating paper and be examined orally save as prescribed otherwise in paragraph A17 below.

A16 The options open to the examiners in determining the result of the examination are as set out below:

A16.1 if the thesis comprising publications and integrating paper submitted fulfils the criteria set out in these regulations and the candidate satisfies the examiners in the oral examination, the examiners shall report that the candidate has satisfied them in the examination for the PhD degree; or

A16.2 if the thesis otherwise fulfils the criteria but requires minor amendments to the integrative summary and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such minor amendments within three months of having received them. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them for confirmation that the corrections are satisfactory; or

A16.3 if the thesis, though judged not to meet the standard required, shall seem of sufficient merit to justify such action, the examiners may require the candidate to submit a revised integrative summary, and/or a different selection of published material, for a PhD within a prescribed period not exceeding 12 months from the date the candidate is notified by UCL of the decision of the examiners. The examiners may at their discretion exempt from a further oral examination, on re-presentation of his/her thesis, a candidate who under this regulation has been permitted to re-present it in a revised form; or

A16.4 if the work satisfies the criteria for the degree, but the candidate fails to satisfy the













8.1.2 give a critical assessment of the relevant literature, describe the method of research and its findings and include a discussion on those findings; and

8.1.3 not exceed 60,000 words, excluding the bibliography and appendices and including footnotes, endnotes, glossary, maps, tables, diagrams and references. Appendices should only include material which examiners are not required to read in order to examine the thesis, but to which they may refer if they wish.

## **9. Entry to examination and submission of thesis for MPhil or PhD**

9.1 A candidate shall be examined in accordance with the regulations in force at the time of his/her entry or re-entry. Application must be made in the form prescribed in the *IOE Guidelines for the Conduct of Oral Examinations*.

9.2 The decision to submit a thesis rests with the candidate alone.

9.3 A student may submit a thesis for examination only after the minimum registration period has passed.

9.4 The student's supervisor shall report that he/she has completed the programme of study in accordance with the regulations before a candidate is admitted to the examination for the degree.

9.5 The student must submit the entry form at least **four months** before the submission of the thesis, and this will initiate the procedure for the appointment of examiners.

9.6 To assist in the appointment of suitable examiners, the student is required to submit with his/her entry form a short description of the content of the thesis, in about 300 words.

9.7 If the candidate has not submitted his/her thesis for examination within 18 months from the submission of the entry form for the examination, the entry will be cancelled unless for special reasons the candidate's supervisor requests otherwise.



11.11 Unless the candidate indicates otherwise on the entry form, the supervisor (or where the candidate is jointly supervised, both supervisors) shall be invited to attend the oral examination as an observer. The supervisor does not have the right to take part in the examination but may contribute if invited to do so by the examiners with the agreement of the candidate. Otherwise the oral examination will be held in private.

11.12 An independent chair shall be appointed for all oral examinations. The chair shall play no role in the academic content of the examination of the thesis or the candidate. The role of the independent chair is to be present at the oral examination as a neutral observer and a guarantor of fair play, and generally to ensure that the examination is conducted appropriately. Where appropriate, the chair shall offer advice to the examiners on the regulations.

11.13 The chair shall be appointed in accordance with the *IOE Guidelines for the Conduct of Oral Examinations*.

11.14 The examiners shall prepare independent preliminary written reports on the thesis to assist in conducting the oral examination (or the preparation of the joint report in those cases where no oral examination is held). These preliminary reports shall be submitted to the IOE before the oral examination so that they may be distributed to the other examiner and to the independent chair before the oral examination.

11.15 The examiners have the right to reject a thesis which does not conform to the requirements for the submission of theses without conducting an examination. This does not preclude the candidate from submitting the thesis for examination again later.

11.16 After any oral examination, the examiners shall prepare a joint final report for submission to IOE. The report shall indicate whether the thesis meets the requirements specified in these regulations and include a statement of the examiners' reasons for their judgment of the candidate's performance against the prescribed criteria.

11.17 The examiners may, at their discretion, consult the independent chair before completing their report.

11.18 Copies of the reports shall be sent to the Student and Registry Services who shall forward a copy of the final report to the candidate, together with the preliminary reports. All reports will be available to the members of an appeals committee in the case of an appeal against the result of

### **Pass subject to corrections within one month**

12.2.2 If the thesis otherwise fulfils the criteria but requires corrections (i.e. typographical errors, occasional stylistic or grammatical flaws, corrections to references/bibliography etc), and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such corrections within one month of having been notified of the required amendments. The examiners shall be required to advise the student of the corrections in writing following the oral examination. The corrected thesis shall be submitted to one of the examiners nominated by them, or, if they so decide, the supervisor, for confirmation that the corrections are satisfactory.

### **Pass subject to minor amendments within six months**

12.2.3 If the thesis otherwise fulfils the criteria but requires amendments (i.e. stated minor deficiencies, requiring some textual revision) and if the candidate satisfies the examiners in the oral examination, the examiners may require the candidate to make such amendments specified by them within 6 months of having received them. The examiners shall be required to advise the student of the minor amendments in writing following the oral examination. The amended thesis shall be submitted to the examiners or one of their number nominated by them for confirmation that the amendments are satisfactory. If the candidate fails to make the amendments in the specified time- frame or the examiner is unable to confirm that the amendments are satisfactory, the procedure outlined in 12.2.4 should be followed.

### **Referral – re-present within 18 months**

12.2.4 If the thesis, though judged not to meet the standard required, shall seem of sufficient merit to justify such action, the examiners may determine that the candidate be permitted to re-present his/her thesis in a revised form within 18 months. Examiners shall not, however, make such a decision without submitting the candidate to an oral examination following the oral examination.





14.5 The Student and Registry Services may withhold the result of any examination for a student who is under investigation under the disciplinary procedures of UCL, unless required to disclose information by law.

14.6 The procedures governing student complaints, including appeals against the decision of a Board of Examiners, are defined in the *UCL Academic Manual, Chapter 1, Section 12: Student Complaints Procedures*.